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UNIQUENESS OF CONNECTING ORBITS IN THE EQUATION Y(3) =
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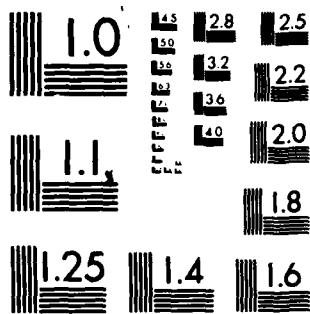
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UNIQUENESS OF CONNECTING ORBITS IN THE

EQUATION $y^{(3)} = y^2 - 1$

Christopher K. McCord

**Mathematics Research Center
University of Wisconsin—Madison
610 Walnut Street
Madison, Wisconsin 53705**

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UNIQUENESS OF CONNECTING ORBITS IN THE EQUATION

$$y^{(3)} = y^2 - 1$$

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ABSTRACT

The differential equation of the title arises (in particular) in the study of shock waves.^[2] The equation has two rest points; the question is whether there are solutions running between them. Existence of the "connecting solution" was proved by N. Kopell and L. Howard^[2] and later by C. Conley¹. The uniqueness is proved in this paper.

AMS (MOS) Subject Classifications: 34C99, 34C35

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SIGNIFICANCE AND EXPLANATION

The problem treated here arises in the study of shock waves. The question concerns solutions which run from one of the rest points to the other. Such solutions correspond to "structure" of the shock wave, i.e. these solutions give a description of the way the solution varies in the shock layer itself.

In general the existence of "structure" for shock waves follows from simple qualitative arguments (for example from Morse theory). However, such indirect existence proofs cannot lead to uniqueness statements. Here the uniqueness is proved using symmetry considerations, together with estimates on the rate of decay of a "Liapounov function". It is hoped that these methods will extend to canonical forms of other such equations (e.g.

$$y^{(2n+1)} = y^2 - 1).$$

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UNIQUENESS OF CONNECTING ORBITS

IN THE EQUATION

$$y^{(3)} = y^2 - 1$$

Christopher K. McCord

In [1] and [2], the behavior of bounded solutions of $y^{(2n+1)} = y^2 - 1$, $n \geq 0$, is investigated and existence of non-constant bounded solutions is shown. It is known that any such solution must run from one critical point to the other. We wish here to complete this investigation for the case $n = 1$ by showing there is only one non-constant bounded solution. The existence proofs vary in their approach; here I have sketched the proof of Conley, who suggested this problem to me. The equation $y^{(3)} = y^2 - 1$ can be expressed as the following system of first order equations:

$$\begin{aligned} 1) \quad & y_1' = y_2 \\ & y_2' = y_3 \\ & y_3' = y_1^2 - 1 \end{aligned}$$

This system has two fixed points, $(1, 0, 0)$ and $(-1, 0, 0)$. The linearized equation at these points has eigenvalues a, aw, aw^2 and $-a, -aw, -aw^2$ respectively, where $a = \sqrt[3]{2}$, and $w = e^{\frac{2\pi i}{3}}$. Thus both points are hyperbolic critical points: $(1, 0, 0)$ has a two dimensional stable manifold and a one dimensional unstable manifold; $(-1, 0, 0)$ has a one dimensional stable manifold and a two dimensional unstable manifold.

This system admits the Liapunov function $L(y) = \frac{1}{3}y_1^3 - y_1 - y_2y_3$. $L(y) = -y_3^2$, so L decreases along solutions which do not lie in the $y_3 = 0$ plane. But a solution can remain in that plane for an interval of time only if $y_3 = y_1^2 - 1 = 0$.

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throughout the interval, or if $y_1 = t^{\frac{1}{2}}$. And this is only possible if $y_1 = y_2 = 0$ throughout the interval. Thus the only solutions on which L is constant are the two fixed points.

Also, this system can be rescaled: if we take $x_1 = \epsilon^{\frac{1}{2}}y_1(\epsilon^{\frac{1}{6}}t)$
 $x_2 = \epsilon^{\frac{2}{3}}y_2(\epsilon^{\frac{1}{6}}t)$
 $x_3 = \epsilon^{\frac{5}{6}}y_3(\epsilon^{\frac{1}{6}}t)$

then $x(t) = (x_1(t), x_2(t), x_3(t))$ satisfies:

$$\begin{aligned} \dot{x}_1 &= x_2 \\ \dot{x}_2 &= x_3 \\ \dot{x}_3 &= x_1^2 - \epsilon \end{aligned}$$

In particular, if $\epsilon^{\frac{1}{6}} = -1$, then $x(t) = (-y_1(-t), y_2(-t), -y_3(-t))$ satisfies 1). That is, 1) is symmetric under the transformation:

$$\begin{aligned} t &\rightarrow -t \\ y_1 &\rightarrow -y_1 \\ y_2 &\rightarrow y_2 \\ y_3 &\rightarrow -y_3, \end{aligned}$$

so the rotation about the y_2 axis of a (forward time) solution is itself a solution in backward time.

We wish to find the bounded solutions of 1). Clearly, $(1,0,0)$ and $(-1,0,0)$ are the only fixed points, and there are no periodic solutions, as L decreases along non-constant solutions. The only other possible bounded solutions are those with ω -limit set $\{(1,0,0)\}$ and α -limit set $\{(-1,0,0)\}$, or vice versa (i.e. connecting orbits). As $L(1,0,0) = -\frac{2}{3}$, $L(-1,0,0) = \frac{2}{3}$, there are no solutions of with α -limit $(1,0,0)$ and ω -limit $(-1,0,0)$. Thus the (qualitative) behavior of bounded solutions of 1) is completely described by the following:

Theorem: There exists a unique solution of 1) with α -limit $(-1,0,0)$ and ω -limit $(1,0,0)$.

Proof:

We will use $y \cdot t$ to denote the point to which y is carried by the flow in time t , $y_i \cdot t$ to denote the i th coordinate of $y \cdot t$, and $y \cdot R$ to denote the orbit through y .

A. EXISTENCE

Existence proofs can be found in [1] and [2]. The Morse theory argument found in [1] can be briefly stated here.

Equation 2) for $\epsilon < 0$ has $\dot{x}_3 = x_1^2 - \epsilon$ bounded below by $-\epsilon > 0$, so $x_3(t)$ approaches infinity as t does. Thus the set of bounded orbits is empty when $\epsilon < 0$. For $\epsilon = 0$, the only bounded orbit is the fixed point at the origin. This comes from the fact that the Liapunov function decreases on solutions. Namely, since it is monotone on orbits, it must be constant on limit sets. This means the limit sets are comprised of critical points. Since there is only one such point, any bounded solution must begin and end in that point; so it must consist only of that point (since the Liapunov function has the same value at both ends of the orbit).

Choose a ball about the origin. For $\epsilon < 0$, no boundary point of the ball is on a bounded orbit. It follows that the same is true for small positive ϵ . So in the sense of [1], the set of bounded orbits in the ball is isolated, and so has a Morse index. Since it continues to the empty set (as ϵ goes negative) its index is that of the empty set, namely the zero index. On the other hand, when $\epsilon > 0$, the invariant set in the ball contains both critical points. Both of these are isolated, and both have non-zero index. By a general result, the index of the disjoint union of two isolated invariant sets has zero index if and only if they both do. Therefore, the two points cannot make up the full invariant set when $\epsilon > 0$. Because of the Liapunov function, all other orbits in the set must connect the two critical points. This proves the existence of connecting orbits.

B. UNIQUENESS

To prove uniqueness, we proceed by considering intersections of connecting orbits with the plane $Y = \{y_1 = 0\}$. We will show:

Lemma I: There exists at most one connecting orbit which intersects Y exactly once.

Lemma II: There exist no connecting orbits which intersect Y two or more times.

In proving these lemmas, the existence of the Liapunov function and the symmetry under rotation about the y_2 axis will be crucial.

Proof of Lemma I:

Let $Y_1 = \{y \in Y \mid y.R \text{ is a connecting orbit, } y.R \cap Y = y\}$. Namely, Y_1 is the intersection of Y with the connecting orbits which pass through Y once. If $y, y' \in Y_1$, then $y_1 \cdot t, y'_1 \cdot t > 0$ for $t > 0$, and their difference $x \cdot t = (y - y') \cdot t$ satisfies:

$$\begin{aligned} \dot{x}_1 &= \dot{y}_1 - \dot{y}'_1 = y_2 - y'_2 = x_2 \\ 3) \quad \dot{x}_2 &= \dot{y}_2 - \dot{y}'_2 = y_3 - y'_3 = x_3 \\ \dot{x}_3 &= \dot{y}_3 - \dot{y}'_3 = y_1^2 - y'_1^2 \\ &= (y_1 + y'_1)(y_1 - y'_1) = \Phi(t)x_1 \end{aligned}$$

with $\Phi(t) > 0$ for $t > 0$.

This equation has fixed point $(0,0,0)$, and positively invariant cone $X = \{x_1 > 0, x_2 > 0, x_3 > 0\} - \{(0,0,0)\}$. That is, if an x -orbit enters this cone, all of its coordinates, and so all of its derivatives, are positive for all forward time, and all of its coordinate functions diverge to infinity.

Now consider $y = (0, y_2, y_3) \in Y$, with $y_3 \geq 0$. Because of the rotational symmetry, $y' = (0, y_2, -y_3) \in Y$ also [i.e. $y.R$ has α -limit $(-1, 0, 0)$, so $y'.R$ has ω -limit $(1, 0, 0)$; $y.R$ has ω -limit $(1, 0, 0)$, so $y'.R$ has α -limit $(1, 0, 0)$]. Then, as both $y.R$ and $y'.R$ have ω -limit $(1, 0, 0)$, $(y - y').t \rightarrow (0, 0, 0)$ as $t \rightarrow \infty$. But $y - y'$ evolves according to 3), so if $y_3 > 0$, $y - y' = (0, 0, 2y_3) \in X$, and $(y - y').t \rightarrow \infty$. Thus $y_3 = 0$, and all elements of Y_1 lie on the y_2 axis.

If $y = (0, y_2, 0)$, $y' = (0, y'_2, 0) \in Y_1$ with $y_2 > y'_2$, then $(y - y').t$ goes to $(0, 0, 0)$ as $t \rightarrow \infty$. But then $y - y' = (0, y_2 - y'_2, 0) \in X$, so $(y - y').t \rightarrow \infty$ as $t \rightarrow \infty$. Thus $y_2 = y'_2$, and Y_1 contains at most one element.

Proof of Lemma III:

Clearly, an orbit $y.R$ intersects Y twice or more if and only if, at some time t_0 , either $y_1.t$ goes from positive to negative, or $y.R$ is tangent to Y . Equivalently, $y.R$ intersects Y twice or more if and only if, at some time t_0 , $y_1 \cdot t_0 = 0$, and $y_2 \cdot t_0 = y_1 \cdot t_0 < 0$. Thus it suffices to show that no point of $Y \cap \{y_2 < 0\}$ lies in a connecting orbit. As we have shown above that $(0, y_2, y_3)$ lies in a connecting orbit if and only if $(0, y_2, -y_3)$ does, it suffices to show that no point of $U = \{y_1 = 0, y_2 < 0, y_3 < 0\}$ lies in a connecting orbit.

To show that this is the case, consider the behavior of solutions of 1) in the following regions:

$$U_1 = \{-1 < y_1 < 0, y_2 < 0, y_3 < 0\} - \{(-1, 0, 0)\}$$

$$U_2 = \{y_1 < -1, y_2 < 0, y_3 < 0\} - \{(-1, 0, 0)\}$$

$$U_3 = \{y_1 < -1, y_2 < 0, y_3 > 0\} - \{(-1, 0, 0)\}$$

Then $\dot{y}_1, \dot{y}_2, \dot{y}_3 < 0$, with at least one of these nonzero, for all points $(y_1, y_2, y_3) \in U_1$, so orbits in U_1 exit U_1 through $U_1 \cap U_2$. In particular, all points of $U = U_1 \cap Y$ are carried by the flow into the interior of U_1 , and then into $U_1 \cap U_2 \cap \{y_3 < 0\}$. Points in U_2 have $\dot{y}_1, \dot{y}_2 < 0, \dot{y}_3 > 0$, so all orbits in U_2 exit U_2 through $U_2 \cap U_3$, and points on $U_1 \cap U_2 \cap \{y_3 < 0\}$ do so through $U_2 \cap U_3 \cap \{y_1 < -1, y_2 < 0\}$. Finally, points in U_3 have $\dot{y}_1 < 0, \dot{y}_2 < 0, \dot{y}_3 < 0$, so orbits in U_3 exit U_3 through $\{y_1 < -1, y_3 > 0\}$, with points on $U_2 \cap U_3 \cap \{y_1 < -1, y_2 < 0\}$ exiting U_3 through $\{y_1 < 0, y_3 > 0\}$.

Thus, if $y \in U$, then there exist $0 < t_1 < t_2 < t_3$ such that:

$$\begin{aligned} y_1 \cdot 0 &= 0, y_2 \cdot 0 < 0, y_3 \cdot 0 < 0 \\ y \cdot t &\in \text{int } U_1 \text{ for all } 0 < t < t_1 \\ y_1 \cdot t_1 &= -1, y_2 \cdot t_1 < 0, y_3 \cdot t_1 < 0 \\ 4) \quad y \cdot t &\in \text{int } U_2 \text{ for all } t_1 < t < t_2 \\ y_1 \cdot t_2 &< -1, y_2 \cdot t_2 < 0, y_3 \cdot t_2 = 0 \\ y \cdot t &\in \text{int } U_3 \text{ for all } t_2 < t < t_3 \\ y_1 \cdot t_3 &< -1, y_2 \cdot t_3 = 0, y_3 \cdot t_3 > 0 \end{aligned}$$

We can refine some of these estimates. Since L decreases along solutions,

$$\begin{aligned} L(y) &> L(y \cdot t_1) > L(y \cdot t_2) > L(y \cdot t_3). \text{ But for } y \in U, L(y) = -y_2 y_3 < 0 \\ \text{so } L(y \cdot t_1) &= \frac{2}{3} - (y_2 \cdot t_1)(y_3 \cdot t_1) < 0, L(y \cdot t_2) = \frac{1}{3}(y_1 \cdot t_2)^3 - y_1 \cdot t_2 < 0, \text{ and} \\ L(y \cdot t_3) &= \frac{1}{3}(y_1 \cdot t_3)^3 - y_1 \cdot t_3 < \frac{1}{3}(y_1 \cdot t_2)^3 - y_1 \cdot t_2. \frac{1}{3}x^3 - x \text{ is an increasing function for} \\ x < -1, \text{ with } \frac{1}{3}(-\sqrt{3})^3 + \sqrt{3} &= 0. \text{ Thus } y_1 \cdot t_3 < y_1 \cdot t_2 < -\sqrt{3}, \text{ and } (y_2 \cdot t_1)(y_3 \cdot t_1) > \frac{2}{3}. \end{aligned}$$

In each of U_1 , U_2 , U_3 , all derivatives have constant sign throughout the region, so we can estimate how y_1 , y_2 , y_3 and L change as orbits run through the regions. For example, $y_1 \cdot t_1 - y_1 \cdot 0 = \int_{[0, t_1]} y_2 \cdot t \, dt$, so

$$\min_{t \in [0, t_1]} \{y_1 \cdot t\} \leq \frac{y_1 \cdot t_1 - y_1 \cdot 0}{t_1 - 0} \leq \max_{t \in [0, t_1]} \{y_1 \cdot t\}.$$

But y_2 is decreasing in U_1 , and we have chosen $y_1 \cdot 0 = 0$, $y_1 \cdot t_1 = -1$, so this inequality becomes $y_2 \cdot t_1 < \frac{-1}{t_1} < y_2 \cdot 0$. Further, in U_1 , $y_2 = y_3 = y_1^2 - 1 < 0$, so y_2 is concave down as a function of t , and we can sharpen our estimate to

$$\frac{1}{2}(y_2 \cdot 0 + y_2 \cdot t_1) < \frac{-1}{t_1} < y_2 \cdot 0.$$

We can repeat this argument for y_1 , y_2 , y_3 and L in U_1 , U_2 and U_3 . If we do so, using the convexity argument wherever possible, putting in known values of $y_i \cdot t_j$, and multiplying inequalities by -1 wherever appropriate to obtain non-negative inequalities, we have:

$$5a) -y_{20} < \frac{1}{E_1} < -\frac{1}{2}(y_{20} + y_{21})$$

$$b) -\frac{1}{2}(y_{30} + y_{31}) < \frac{y_{20} - y_{21}}{t_1} < -y_{31}$$

$$c) \frac{1}{2} < \frac{y_{30} - y_{31}}{t_1} < 1$$

$$d) {y_{30}}^2 < \frac{L_0 - L_1}{t_1} < {y_{31}}^2$$

$$e) -\frac{1}{2}(y_{21} + y_{22}) < \frac{-1 - y_{12}}{t_2 - t_1} < -y_{22}$$

$$f) -\frac{1}{2}y_{31} < \frac{y_{21} - y_{22}}{t_2 - t_1} < -y_{31}$$

$$g) 0 < \frac{-y_{31}}{t_2 - t_1} < \frac{1}{2}({y_{12}}^2 - 1)$$

$$h) 0 < \frac{L_1 - L_2}{t_2 - t_1} < {y_{31}}^2$$

$$i) -\frac{1}{2}y_{22} < \frac{y_{12} - y_{13}}{t_3 - t_2} < -y_{22}$$

$$j) 0 < \frac{-y_{22}}{t_3 - t_2} < \frac{1}{2}y_{33}$$

$$k) {y_{12}}^2 - 1 < \frac{y_{33}}{t_3 - t_2} < {y_{13}}^2 - 1$$

$$l) 0 < \frac{L_2 - L_3}{t_3 - t_2} < \frac{1}{2}y_{33}$$

where $y_{ij} = y_i \cdot t_j$, and $L_j = L(y \cdot t_j)$. (Inequalities c, g, h and l will not be used in the lemma proof, but are included for completeness.)

With this system of inequalities, we can complete the lemma proof with the following proposition:

Prop: Let $y \in \mathbb{R}$ be a solution of 1), with $y \in U$, and $y_i \cdot t_j$ as in 4). Then $y_1 \cdot t_3 < -2$.

With this proposition, we see that for any $y \in U$, $L(y \cdot t_3) = \frac{1}{3}(y_1 \cdot t_3)^3 - y_1 \cdot t_3$
 $\leq \frac{1}{3}(-2)^3 + 2 = -\frac{2}{3}$. In particular, $L(y \cdot t_3) < L(1, 0, 0)$, so $y \cdot t \neq (1, 0, 0)$ as $t \rightarrow \infty$, and $y \cdot R$ is not a connecting orbit.

We prove the proposition by contradiction. Assume that there exists a $y \in U$ with $y \cdot t$ as in 4), and $y_{13} > -2$. Then y_{ij} satisfy 5), with
 $-\sqrt{3} > y_{13} > y_{12} > -2$. Also, as $-\frac{1}{3} = \frac{1}{3}(-2)^3 + 2 < L_3 < L_2 < L_1 < L_0 < 0$, we have
 $-\frac{2}{3} < \frac{2}{3} - y_{21}y_{31} = L_1 < 0$, or $\frac{2}{3} < y_{21}y_{31} < \frac{4}{3}$. Similarly, $0 < y_{20}y_{30} < \frac{2}{3}$. From this we find:

$$\text{i)} \quad -y_{22} < \frac{4}{5}$$

Proof: From 5i-k), we have $-\frac{1}{2}y_{22} < \frac{y_{12} - y_{13}}{t_3 - t_2} < \frac{2 - \sqrt{3}}{t_3 - t_2}$, and
 $-y_{22} < \frac{1}{2}y_{33}(t_3 - t_2) < \frac{1}{2}(y_{13}^2 - 1)(t_3 - t_2)^2 < \frac{3}{2}(t_3 - t_2)^2$.

Thus $-y_{22} < \min\{2(2 - \sqrt{3})(t_3 - t_2)^{-1}, \frac{3}{2}(t_3 - t_2)^2\}$.

The functions $2(2 - \sqrt{3})x^{-1}$ and $\frac{3}{2}x^2$ are equal at $x = [\frac{4}{3}(2 - \sqrt{3})]^{\frac{1}{3}}$. For $x > 0$, x^2 is strictly increasing, x^{-1} is strictly decreasing, so the minimum of the two functions at each x is less than or equal to the value of the functions at their intersection. Thus, $-y_{22} < \frac{3}{2}[\frac{4}{3}(2 - \sqrt{3})]^{\frac{2}{3}} < \frac{4}{5}$.

$$\text{ii)} \quad -y_{20} < \frac{4}{5}, \quad -y_{30} < \frac{3}{4}, \quad t_1 > \frac{5}{4}$$

Proof: As $y_2 \cdot t$ is decreasing for $0 < t < t_2$, $y_{20} > y_{21} > y_{22} > -\frac{5}{4}$.

Thus $-y_{20} < \frac{4}{5}$, and $-\frac{1}{2}(y_{20} + y_{21}) < \frac{4}{5}$, so by 5a), $\frac{5}{4} < \frac{2}{-(y_{20} + y_{21})} < t_1$. Then by 5d),

$$y_{30}^2 < \frac{L_0 - L_1}{t_1} < \frac{4}{5}(L_0 - L_1) < \frac{4}{5} \cdot \frac{2}{3} = \frac{8}{15}, \text{ as } 0 > L_0 > L_1 - \frac{2}{3}$$

$$\text{so } -y_{30} < \frac{\sqrt{8}}{\sqrt{15}} < \frac{3}{4}$$

$$\text{iii)} \quad \frac{5}{8} < -y_{31} < \frac{32}{25}$$

Proof: $-y_{21} < \frac{4}{5}$, and $(-y_{21})(-y_{31}) > \frac{2}{3}$, so $-y_{31} > \frac{2}{3(-y_{21})} > \frac{2}{3} \cdot \frac{5}{4} = \frac{5}{6}$.

Also, from ii) and 5b), $-\frac{1}{2}y_{31} < -\frac{1}{2}(y_{30} + y_{31}) < \frac{y_{20} - y_{21}}{t_1} < \frac{4}{5}(y_{20} - y_{21})$.

But $0 < -y_{20} < -y_{21} < \frac{4}{5}$, so $y_{20} - y_{21} < \frac{4}{5}$. Thus $-y_{31} < 2(\frac{4}{5})(\frac{4}{5}) = \frac{32}{25}$.

$$\text{iv)} \quad \frac{7}{8} < t_2 - t_1 < \frac{48}{25}.$$

Proof: $\sqrt{3} < -y_{12}$, so $\sqrt{3} - 1 < -1 - y_{12}$. Then i) and 5e) give

$$\frac{3 - 1}{t_2 - t_1} < \frac{-1 - y_{12}}{t_2 - t_1} < -y_{22} < \frac{4}{5}. \quad \text{Then } \frac{7}{8} < \frac{5}{4}(\sqrt{3} - 1) < t_2 - t_1.$$

Also, as $0 < -y_{21} < -y_{22} < \frac{4}{5}$, $y_{21} - y_{22} < \frac{4}{5}$, so 5f) gives

$$\frac{4}{5(t_2 - t_1)} > \frac{y_{21} - y_{22}}{t_2 - t_1} > -\frac{1}{2}y_{31}. \quad \text{Then, from iii) we have}$$

$$\frac{4}{5(t_2 - t_1)} > \frac{5}{12}, \text{ or } t_2 - t_1 < \frac{48}{25}.$$

$$\text{v)} \quad \frac{25}{48} < -y_{21} < \frac{21}{48}.$$

Proof: $(-y_{21})(-y_{31}) > \frac{2}{3}$, so iii) implies that $-y_{21} > \frac{2}{3(-y_{31})} > \frac{2}{3} \frac{25}{32} = \frac{25}{48}$.

But 5f) implies $-y_{31}(t_2 - t_1) < y_{21} - y_{22}$, and iii) and iv) give

$$\frac{35}{96} = \frac{1}{2} \frac{5}{6} \frac{7}{8} < y_{21} - y_{22}. \quad \text{Thus } -y_{21} < -y_{22} - \frac{35}{96} < \frac{4}{5} - \frac{35}{96} < \frac{21}{48}.$$

This gives the contradiction $25 < 21$, so the assumption that there exists a $y \in U$ with $y_1 \cdot t_3 > -2$ must be false.

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18. SUPPLEMENTARY NOTES			
19. KEY WORDS (Continue on reverse side if necessary and identify by block number) Connecting Orbits			
20. ABSTRACT (Continue on reverse side if necessary and identify by block number) The differential equation of the title arises (in particular) in the study of shock waves. [2] The equation has two rest points; the question is whether there are solutions running between them. Existence of the "connecting solution" was proved by N. Kopell and L. Howard ^[2] and later by C. Conley [1]. The uniqueness is proved in this paper.			